

Education & Youth Portfolio Risk Register

Version 4

Republished: 14.09.20

Part 1 (Portfolio Management)

Financial

Mitigation Urgency Key	
IM – Immediate	Now
ST – Short Term	Within 1 month
MT – Medium Term	1 month plus
Upward arrow	Risk increasing
Downward arrow	Risk decreasing
Sideways arrow	No change in risk
*Denotes the risk is specific to 'Recovery'	

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY01	Secondary schools are not financially viable due to insufficient base funding	↔	MT	Risk associated with insufficient base budgets for secondary schools is included in the MTFS. There is on-going work with secondary head teachers to review the secondary schools funding formula with eventual consultation with the Schools' Budget Forum.
EY02	Inability to deliver statutory Youth Services due to uncertainty about grant funding	↓	MT	Fortnightly teleconference calls with the Youth Justice Board, Welsh Government and Welsh Youth Justice Managers in order to highlight any concerns regarding funding as early as possible.
EY03 Closed	Inability to deliver Inclusion & Progression Services due to uncertainty about grant funding	↓	MT	Closed risk Intelligence regarding grant funding is an agenda item at weekly Portfolio Senior Management team meetings. Schools are advised regularly of other local services and funding sources to supplement the school offer. Service Managers continue to review delivery models to ensure task prioritization and non- duplication. No cuts in service budget for 2020-21 so risk closed
EY04	Increased financial costs to the Inclusion Service due to legal challenges	↔	MT	Officers are working with schools and parents/carers to negotiate the continuation of additional provision in the interim period to offset the need for statutory assessment. The cases are also discussed by Inclusion Service senior managers to determine whether any other alternatives are available to the child with regards provision or support to ensure all internal options have been considered and shared with the parent/carer. Where parents/carers have made an appeal, this information is being escalated to DMT and the legal team to ensure awareness of the number of appeals and officer support requirements.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY05	Insufficient financial resources to support children and young people’s emotional health	↓	ST	There are insufficient financial resources to support children and young people’s emotional health therefore the alternative approaches to securing resources are sought such as promoting free access to ‘Solihull’ approaches to parenting to support parents/carers in managing their children; Additional training provided to schools on strategies/programmes to support emotional health and wellbeing via Wales Government grant; Schools promoting online materials to support emotional health and wellbeing during school closure; use of the Integrated Youth Provision social media platform.
EY06	Insufficient funding to deliver new archive premises	↔	MT	The Archive Project Board of senior officers and political leaders meets regularly to monitor progress of the bid. There is Cabinet and Executive support for the bid to National lottery Heritage Fund with formal commitment to provide capital funding to top up the scheme. There is effective project management in place ensuring project is progressing within budget and timescales. There is a project action plan in place to complete Stage 1 bid by deadline of February 2021. There is effective working with the Museums and Libraries Division of Welsh Government who are supportive of the bid and providing expert advice and gives the bid credence. There is support from The National Archive for the bid and partnership working in place. An expert consultant has been procured with significant expertise in developing heritage funding bids to increase likelihood of success.

Workforce

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY07	Capacity on service delivery is impacted by workforce absence	↓	IM	Managers are well versed in applying the corporate Attendance Management policy and processes. In addition there is the availability of clear protocols for absences arising from the current emergency which are being applied when necessary within the portfolio. Quarterly attendance management figures are reported to Portfolio Senior Management Team with individual case work being followed up. Currently sickness absence levels are the lowest for some time with no significant impact on service delivery. The risk of absence impacting adversely on service delivery is reducing.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
*EY08 Closed	Inability to provide emergency childcare provision during school closure period due to workforce availability	↓	MT	Closed risk Schools reopened on 1 st September for the statutory education of all pupils and there is no requirement for schools to provide emergency childcare.
*EY09 Closed	Insufficient emergency childcare provision in summer holidays if school hubs directed to close by Welsh Government	↓	MT	Closed risk Wales Government determined there was no requirement for school childcare hubs to provide summer holiday childcare provision is closed. However, Wales Government made funding available for councils to provide summer childcare for children identified as vulnerable and to provide enrichment opportunities where possible for children and young people. A programme of provision was developed and delivered successfully by Theatre Clwyd, Aura Leisure, NEWydd Catering & Cleaning, Social Services, and Education & Youth working in partnership. A significant number of Town and Community Councils provided financial support for a two week summer playscheme delivered on their behalf of the Play Team within E&Y
*EY10 Closed	Inability of schools to reopen safely to deliver statutory education due to reductions in workforce, availability of sufficient PPE and infrastructure (catering/transport)	↓	MT	Closed risk Schools re-opened on 29 June 2020 for check in and catch up

Property & Assets

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY11	Fluctuating pupil demography impacts on sufficiency of school places	↓	MT	Pupil number projections are reviewed bi-annually. This data assists in developing priorities for the Council's schools investment programme for schools and helps understand potential issues and possible mitigation measures associated with local development plan, to this end there are regular meetings with the Planning Team.

EY12	Deteriorating school buildings adversely impacts on curriculum delivery	↓	MT	All schools are subject to 5 year condition survey. Through the Council’s annual repairs and maintenance programme and the 21 st Century Capital investment funding, the risk from deteriorating school buildings impacting on curriculum delivery is reducing. All schools continue to deliver an effective curriculum. The Council continues to bid for other external capital funding to be invested in the school estate.
EY13	Inability to fully deliver on Welsh Government 21 st Century School Building Programme due to financial, workforce and contractor implications	↔	MT	There is regular dialogue between the Council and the North Wales Construction Partnership contractors and supply chain, and also with Wales Government to mitigate against problems arising from funding, the workforce or from the contractor. The risk continues to be managed.
EY14	Welsh Government Childcare Capital programme is not fully completed resulting in a reduction of childcare places	↔	MT	There is regular monitoring of risks at Portfolio Senior Management Team and quarterly reports to Welsh Government. A contractor has been commissioned to work up actual costs and site risks for the individual projects. These are escalated to the Capital Assets Board as necessary.

Governance/Legal

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY15	Non-compliance with the Additional Learning Needs Education Tribunal (ALNET) Act 2018	↔	MT	Progress against the Council’s Transformation Plan in relation to the implementation of the new Act from September 2021 is monitored at service and senior management level. Potential financial risks are reported through portfolio finance meetings and the Mid Term Financial Strategy monitoring systems. Progress is also measured through regular stakeholder meetings and meetings of the regional leads which include the regional Additional Learning Needs Transformation Lead who meets regularly with WG. Current measures confirm the Council continues to be compliant. Wales Government have recently indicated that the Guidance Code will not be published until February 2021 as opposed to December 2020. Work will continue against the current Transformation Plan but changes may need to be implemented quickly in response to the published Code.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY16	Failure to make statutory provision for learners with Special Educational Needs (SEN) due to resource availability	↓	ST	<p>Education and Health professionals are developing ways in which they can complete their statutory responsibilities in relation to the statutory assessment process for children with SEN to ensure the Council is able to make specialist placement decisions. These include the use of video platforms and the establishment of clinical rooms where the child and the assessor are separated by a Perspex screen. Services are also engaging with their respective professional bodies who are in many cases providing advice and guidance on how to complete their roles whilst maintaining social distancing.</p> <p>Officers are working with schools and parents/carers to negotiate the continuation of existing additional provision in the interim period to offset the need for statutory assessment and change of educational placement.</p>
EY17	Failure to meet the statutory targets in the Welsh in Education Strategic Plan due to insufficient parental take up of Welsh medium education	↔	MT	<p>The annual update of the Welsh In Education Strategic Plan includes information from parental demand surveys. The Authority is on track to expand Welsh medium capacity at three school sites through its capital programme. Progress against statutory targets are monitored quarterly by the Forum with annual reports to Scrutiny Committee.</p>
EY18	Young people unable to access counselling services due to the closure of schools	↓	ST	<p>The Counselling service is currently accessing training to be able to offer on-line and telephone counselling as an additional /alternative model of service delivery.</p>
EY19	Insufficient local education provision to support learners with mental health needs	↓	MT	<p>Specialist teams within the Inclusion & Progression Service are working regionally with other LAs and health colleagues to develop resources to support the transition from hubs back to school on the 29 June. There is a working group currently looking at how schools can offer increased targeted support to individuals with mental health difficulties. A review has been undertaken of the Council's current specialist provision with the findings having been collated into a report; this will form the basis of a business case application for further resource and investment. Capacity will be increased from September 2021 with the new build for Plas Derwen Portfolio Pupil Referral Unit. The risk is being managed.</p>

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY20	Increased number of Special Educational Needs Tribunals due to an inability to meet the statutory assessment process requirements and accurately identify individual needs (link to EY 16)	↔	MT	<p>Education and Health professionals are developing ways in which they can complete their statutory responsibilities to ensure the Council’s SEN Moderation Panel has access to the level of information required to support informed decision making for children with SEN. These include the use of video platforms and the establishment of clinical rooms where the child and the assessor are separated by a Perspex screen. Services are also engaging with their respective professional bodies who are in many cases providing advice and guidance on how to complete their roles whilst maintaining social distancing.</p> <p>Officers are working with schools and parents/carers to negotiate the continuation of existing additional provision in the interim period to offset the need for statutory assessment and change of educational placement.</p>
*EY21 Closed	Reduced safeguarding referrals due to school closures	↓	MT	<p>Closed risk</p> <p>Schools have opened in September therefore the risk has reduced significantly although not all pupils will be full time in school until the middle of September. All Wales Child Protection Procedures still apply and schools have been reminded. Safeguarding guidance is included in the operational model for childcare hubs. Robust systems have been implemented for schools to maintain contact with families and protocols established for them to follow up in the event on non-contact. Co-ordinated press and social media campaign by Flintshire to actively promote safeguarding as everyone’s responsibility during lockdown. Children’s Services maintaining contact and child protection processes. Schools continue to engage in child protection processes during lockdown e.g. case conferences, multi-agency planning meetings. Children and young people identified as being a safeguarding risk are prioritised for childcare places in the hubs.</p> <p>Referrals to Childrens’ Services are now the same as pre lockdown levels. Capacity is also available in the system should there be any spike in referrals when all pupils return to schools by the 14th September.</p>

External Regulation

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
-----------	------------	------------	--------------------	--------------------

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY22	Inability to meet the recommendations arising from the Local Authority's Estyn Inspection 2019	↓	MT	The Post Inspection Action Plan has been incorporated into the Council Plan 20220/21 and the Portfolio's business Plan. Plans are monitored at senior management team meetings weekly and the Senior Team meet termly with Estyn's Local Registered Inspectors to monitor the delivery of actions to meet the targeted recommendations. The Plan is reported annually to Cabinet and Scrutiny. Current progression against the actions are on target.
EY23	Poor outcome of Ministry of Justice Inspection due to non-compliance with National Youth Justice Standards and ineffective governance from Youth Justice Board	↔	MT	The Youth Justice Board currently are working to guidance from the Ministry of Justice with regard to National Standards and statutory functions during the emergency situation. The Youth Justice Service maintains fortnightly contact with the Youth Justice Board and regular contact with statutory partners (HM Courts and Tribunal Service / Police / Crown Prosecution Service / Social Services / Health) and responds to changing government advice. Youth Justice Board are yet to clarify the position around recovery planning. The Youth Justice Service also continues to re-commence and progress work identified in our National Standards Audit and Youth Justice Plan through our Executive Delivery Group.
EY24	Inability to meet national archive accreditation standards due to poor quality of the accommodation	↓	MT	The National Archive has agreed to a deferment of Flintshire's next accreditation against the standards to allow time for the outcome of the bid and potential solution to the accommodation issue to be found.

Part 2 (Portfolio Service & Performance)

School Improvement

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY25	Schools insufficiently prepared to implement new curriculum which impacts adversely on learners	↓	MT	-Regional and local Business Plans have been written identifying the required actions needed by schools to ensure they are prepared. Whilst preparations by schools was limited during the repurposing period, the regional school improvement service has continued to provide universal and bespoke support to schools as appropriate. Professional development and collaboration has continued virtually where possible. Cluster meetings for Flintshire schools have continued remotely. The fortnightly

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
				meetings between local authority and regional school improvement service continue, with a focus on developing distance and blended learning. The GwE Management Board attended by the Chief Officer receive and monitor update reports. Likewise, there are regular updates to the Joint Consultative Committee attended by the Lead member for Education and the Chief Education Officer.
EY26	Ineffective school leadership results in poor pupil outcomes which increases risk of schools being placed in statutory Estyn categories	↓	MT	Local Business Plan has been written identifying targeted support needed. Progress against this is a standing item at the Standards Quality Board meeting with identified risks being flagged through DMT, Programme Board, Overview & Scrutiny meetings. The portfolio Business Plan identifies targeted support for those schools in need with identified risks being flagged through Senior Management Team. Currently all inspection activity by Estyn is suspended until further notice. There will be no further inspections during 2020- 2021. National and local focus is on planning and preparation for implementation of the new curriculum.
EY27	School leadership and governance is ineffective due to lack of engagement in professional development and support programmes	↔	MT	There is a comprehensive professional leadership development programme in place nationally and regionally for school leaders. Programmes that have been suspended due to the pandemic are being moved to online virtual arrangements with work underway nationally and locally. The NPQH programme for aspiring Headteachers is currently open for the next round of applications. Bespoke support is still available for Flintshire Heads through LA officers and GwE advisers. There is a regional protocol in place for supporting schools with senior leadership appointments, including headteacher and deputy headteacher appointments. This is continuing to support appointments virtually. School Governors have dedicated officer support and the Council funds access to Governors Cymru advisory service for all schools. Governors have access to professional development through the Flintshire Governors Association and through the regional school improvement service.

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY28	Ineffective school leadership results in standards of Welsh in schools falling below the national average	↓	MT	Action Plans have been written identifying the required activity needed to meet the Authority’s Welsh in Education Strategic Plan targets. There are regular meetings between senior manager for school improvement and service manager for Welsh to monitor engagement and progress of schools. There are high levels of engagement between portfolio managers and the regional school improvement service to ensure resources are targeted appropriately. The regional plan includes support for improving outcomes in Welsh at key stages 3 and 4.. The summer term meeting of the Welsh in Education Strategic Forum (WESP) was cancelled due to the pandemic. The autumn term meeting will take place virtually.
EY29	Reduced performance in Science, Technology , Engineering and Maths subjects at Post 16 could impact on access to local apprenticeships and progression into higher education	↓	MT	There is a regional lead for post 16 now in place. The Business plan for post 16 is incorporated into regional and local planning. Schools have access to subject advisers and regional subject forums. There are fortnightly meetings between the local authority and regional school improvement service to monitor engagement and progress of schools, and regular stakeholder meetings to ensure communication at all appropriate level. Schools are reporting after 2020 A Level results that nearly all learners were able to progress to their preferred choice of course, however, destination data is not yet available to verify this.

Inclusion & Progression

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY30	Increased numbers of young people not in Education, Training & Employment due to lack of pupil engagement	↔	MT	The Inclusion & Progression service continues to work in collaboration with a range of internal and external services to identify pupils at risk of disengagement via the range of data sources and tools available. There continues to be regular dialogue with pastoral leads in secondary schools and local further education institutes and training providers to ensure suitable transition arrangements are in place to support continued engagement for pupils leaving Year 11. Fortnightly education panels are conducted where targeted young people are monitored in terms of their engagement and transition arrangements to ensure alternative support and intervention is identified where required.

Integrated Youth Provision

Risk Ref.	Risk Title	Risk Trend	Mitigation Urgency	Mitigating Actions
EY31	Increase in young people subject to intervention by the Youth Justice Services due to the impact of school closures and revised service delivery models	↔	ST	The Youth Justice Service continues to monitor referrals into the service and as part of assessments will identify any gaps in education provision. On 14 th June the YJS will have a new Education Officer whose primary task will be to identify those young people not accessing their full entitlement to education and identifying barriers and support to increasing this provision. The YJS will re-commence monthly Education Meetings internally to monitor this cohort.
EY32	Young people in the Youth Justice Service not accessing minimum statutory education offer due to lack of pupil engagement	↔	ST	The Youth Justice Service continues to monitor referrals into the service and as part of assessments will identify any gaps in education provision. On 14 th June the YJS will have a new Education Officer whose primary task will be to identify those young people not accessing their full entitlement to education and identifying barriers and support to increasing this provision. The YJS will re-commence monthly Education Meetings internally to monitor this cohort. During lockdown the YJS and Inclusion Service have revisited and agreed an updated Education Transition Pathway to better improve collaboration, information sharing and outcomes for young people.